Managing for Results

Guidebook:

A Logical Approach for Program Design, Outcome Measurement and Process Evaluation

for sub-recipients of STOP, VOCA and Family Violence Grants

Tennessee Office of Criminal Justice Programs
Department of Finance and Administration
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With assistance from:
Performance Vistas, Inc.

June 25, 2001 (with Indicators & Measures for 2003)

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This project is funded under an agreement with the Department of Finance & Administration, Office of Criminal Justice Programs. It is supported by Grant No 00-WF-VX-0047 awarded by the VAWA Grants Office, Office of Justice Programs, U. S. Department of Justice. Points of view in this document are those of the author and do not necessarily represent the official position or policies of the Department of Justice.

Performance Vistas, Inc. and Tennessee's Office of Criminal Justice Programs would like to thank M. R. Burt and his co-authors at the Urban Institute for *The Evaluation Guidebook*, and Jonathan Walters, author of *Measuring Up!* Without their work on logic model program design, performance measurement and evaluation, this training program could not have been written. Participants who wish to go beyond the basics are encouraged to find these books.

ABOUT THIS GUIDEBOOK

The ***Managing for Results Guidebook*** is a primer for victims' services agencies who are involved with Tennessee's Office of Criminal Justice Programs. This *primer* is intended to bring you on board with the requirements of OCJP to report the client outcomes your agency achieved with STOP and VOCA funds in FY 2000-2001. An understanding and application of the concepts and principles described in this ***Guidebook*** will enable you to create a *performance measurement system* for your agency that will meet the reporting requirements of OCJP. More importantly, the application of these concepts and principles will enable your agency to achieve the following types of *process objectives*:

- Document your program's accomplishments, especially its impact and effectiveness.
- Generate information on what strategies work best, how projects should be structured, and how to overcome obstacles.
- Plan and manage your program by getting feedback to identify areas that are operating according to plan and those that need attention and development.
- Publicize your accomplishments.

By the time you have completed this ***Guidebook*** you will be able to:

- Establish clear performance expectations for your agency that reduce uncertainty and improve program continuity.
- Shift attention from input control and oversight to results and increased emphasis on planning and management.
- Establish a performance measurement system for assessing your program's results.
- Develop a measurable basis for demonstrating how your agency is responding to major community issues.
- Provide an early warning system for potential problems.

ABOUT THE DEVELOPERS

Performance Vistas, Inc. is a non-profit research, training, consultation and facilitation agency. OCJP contracted with us to implement their vision for a learning system approach to evaluation. That vision includes several assumptions about what works:

- Not top-down, but grassroots development of evaluation partnerships.
- Not compliance monitoring, but developmental approaches to evaluation.
- Not classical, clinical, academic research evaluation, but management-focused performance improvement.
- Not systems imposed from the outside, but developed in partnership with the key participants in the service delivery system.

ABOUT THE ADVISORY GROUP

The Office of Criminal Justice Programs has been developing this system since 1998, using a process facilitated by Performance Vistas. A key element has been our partnership with OCJP's Family Violence, STOP and VOCA grant sub-recipients. By June of 2000 we had trained nearly 100 agency leaders in Logic Models and Outcome Measurement.

During FY 2000-01 OCJP brought together thirty-two of these leaders, who had been trained and had demonstrated strong "logic models" of their own. These Advisors worked in seven small groups for over five months, defining client outcome indicators and measures for seven types of victim service agencies or projects: **Legal Services Agencies, Comprehensive Victim Services Agencies, Victim/Witness Coordinators/Advocacy Projects, Sexual Assault Projects, Domestic Violence Shelter Programs, Law Enforcement Victim Assistance Projects, and Child Advocacy Programs or Projects.** These people offered their time and energy to make the system one we can all be proud to call our own. They did this on behalf of not only their own agencies, but also for those of their peers, and for the people of Tennessee. We owe them a debt of gratitude!

Debbie Arthur	CASA of Anderson County
Delaine Bottoms	**Carl Perkins Center**
Susan Bell	**Family & Children's Services**
Toni Buggs	Ujima House
Janell Clark	**Genesis House**
Dana Cobb	**Madison County Juvenile Court**
Linda Crowley	Frayser Family Center
Mary Margaret Denton	Children's Advocacy Center of Sullivan County
Jennifer Dritt	**Sexual Assault Crisis Center**
Jody Folk	**20th Judicial District**
Mike Gooch	Exchange Club Family Center
Teresa Grant	**The HOPE Center**
Bill Haley	**Legal Services of South-Central TN**
Rhonda Harris	Nashville-Davidson County Metro Police Department
Kathy Hatfield	Children & Family - Family Crisis
Laurene Hogans	The Crisis Center
Donna Humbert	Family & Children's Services
Jane Jarvis	**West TN Legal Services**
Deborah Johnson	Domestic Violence Program
Mona Mason	**Haven of Hope**
Sharon Moore	Battered Women
Sandra Rasnake	Bristol Crisis Center
Dawn Riddle	**Knoxville Police Department**
Connie Shelby	Harriett Cohn
Lt. Patty Smith	**Dyersburg Police Department**
Amy Taylor	VIP/Metro Police Department
Leslie Tosh	Madison County Juvenile Court
June Turner	**Nashville Child Advocacy Center**
Juanita Veasy	Black Children's Institute
Kathy Walsh	**TN Coalition against Domestic &Sexual Violence**
Anna Whalley	**Shelby County Victim Assistance Center**
Deborah Yeomans	Legal Services of Upper East TN
	NOTE: The leaders of the seven work groups are in bold font.

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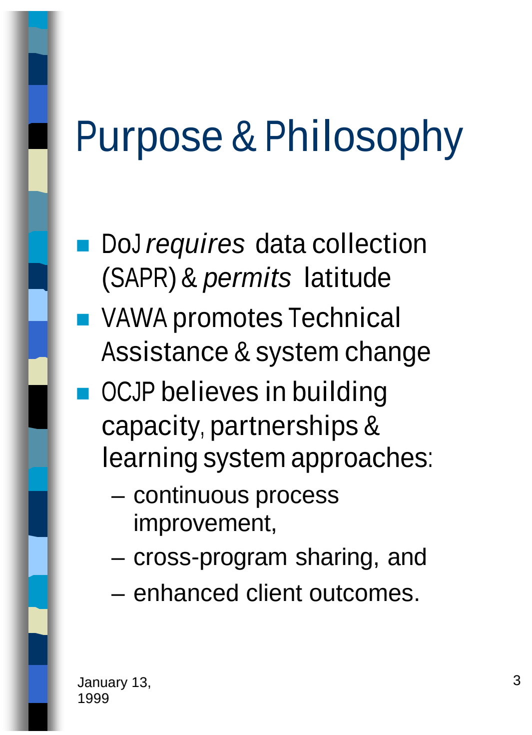
THE MOVEMENT TOWARD MANAGING FOR RESULTS

In 1993, Congress enacted the **Government Performance and Results Act.** Also known as GPRA or the Results Act, this legislation may prove in many ways to be the most fundamental reform of the federal government in decades. For the first time federal agencies were mandated specifically to become results-oriented. Under the law, federal agencies are required to develop long-term Strategic Plans defining general goals and objectives for their programs, to develop Annual Performance Plans specifying measurable performance goals for all of the program activities in their budgets, and to publish an Annual Performance Report showing actual results compared to each annual performance goal. The Annual Performance Plan goals are supposed to show the expected progress toward meeting the long-term goals of the Strategic Plan. Both plans must describe the strategies and various resources needed to meet their goals.

GPRA, in other words, begins to shift the focus of federal agencies from simply accountability for *effort* to accountability for *results*. That is, from "did the program spend the correct amount of money in a proper manner?" to "what did the program actually *accomplish* with the money it spent?" In doing so, the legislation introduces an important new emphasis into federal performance measurement: the need to identify desired outcomes. The distinction between measuring program **outputs** (i.e., how *much* will be done?) and measuring actual **outcomes** (i.e., what actually *resulted*?) is fundamental. Ultimately, accountability rests on the difference between output and outcome for Congress, the Justice Department, and other federal agencies that are responsible for the effectiveness of the programs they administer.



For some years, the Federal Department of Justice has required the collection of evaluative data by all subgrantees as a condition of their grants. In particular, many subgrantees are required to submit a Subgrant Statistical Summary (SSS), a Subgrant Award Report (SAR) and a Subgrantee Award and Performance Report (SAPR), or other such reports. Typically, these reports require agencies to describe the population being served (demographic data) and the volume of types of services provided (output data). As a result of GPRA, the Department of Justice is now encouraging and soon will require the states' grant administration agencies – like OCJP – to provide data that describe the results of services on the clients being served (outcome data).

The handwriting is on the wall. Agencies that want to survive must make significant efforts to improve performance – and be able to prove it with verifiable measurements. At this time, the Department of Justice is permitting the states' grant administration agencies latitude to design their own evaluations. Gathering required data for federal reporting – and monitoring performance data – are two important state coordinating functions. Indeed, the Office of Criminal Justice Programs (OCJP) sees this as an excellent opportunity to fulfill its role as community development partner with its subgrantee agencies. By building responsible management uses of evaluative data, OCJP is pursuing three purposes that appear within Department of Justice's evaluation guidelines:

- To promote ongoing improvement in subgrantees' performance by enhancing their use of process evaluation and analysis within their programs' own operations;
- To support partnerships among community programs of different types by encouraging cross-program information sharing and decision-making (focused on better management uses of evaluative data); and
- To enhance understanding of the programs' effects on client outcomes, analysis of what works and what doesn't work, recognition of what other benefits are being achieved, and discovery of what others may learn from the experience.

OCJP is taking a leadership role in this arena. Other states are just now trying to "catch up."

OCJP REQUIRES VICTIMS' OUTCOMES REPORTING

This summer you'll submit a narrative summary of the client outcomes your agency achieved with STOP and VOCA funds in FY 2000-2001. These new reporting requirements also make it essential that by July 1, 2001 you are gathering data on how your clients' lives have changed. Why? So you can report those outcomes in January and July 2002!

Client outcomes <u>will</u> guide OCJP's future funding decisions! There are three *huge* reasons for attending to your clients' outcomes: **First and foremost,** our agencies exist to help victims find ways to live better lives. We want clients safer, more informed, aware of their alternatives, and exercising better judgment. Besides, we need solid information about how well our clients are doing in order to continue improving the quality of our programs. **Second,** the funding sources – such as OCJP – must be in a position to make funding decisions in both "up" times and "down". *Everyone wants the money going to programs that work, and OCJP wants its decisions to be rational and understandable!* When the funds are there, funding agencies need information on results to decide which service models to support. When funds are tight, funding agencies must be able to direct limited resources toward approaches *known* to work. (Tennessee's FY 2001 STOP and VOCA awards were reduced slightly.) A history of achieving *results*, not promises or effort, should be the "tie-breaker" when two deserving agencies need an award. **Third,** like funding agencies such as United

Way, the federal government wants outcome data for Tennessee's awards in VOCA and STOP. If we want money coming to Tennessee, we need to demonstrate *results*.

So, how are reporting requirements changing? OCJP is working on ways to help you capture data on your activities and clients' outcomes. For example, you'll see a new year-end summary format this year in *Attachment 1*. ***Output reporting*** will continue to focus on traditional tracking of the agency's activity and efforts, such as demographics (e.g., client ages, races, locations) and "headcounts" (e.g., numbers served). ***Outcome reporting*** will focus on those specific changes in a client's behavior or living conditions that suggest the services were beneficial, and that the project achieved its purpose. STOP and VOCA grant recipients must report client *outcome* data as well as the more traditional *output* data, starting with the annual reports due at OCJP in July 2001. OCJP has spread the transition to outcomes reporting over the past two years to help agencies adjust to performance data reporting. This year is the transition year! Here's what's up with reporting:

- **Simple and flexible expectations for reporting FY 2000-2001 data in July 2001:** Subgrantees will summarize in narrative format whatever outcome data they have been able to collect, consistent with the contractual commitment to report outcomes they made in their applications for FY 2000-2001. *(See Attachment 1.)*
- **For FY 2001-2002,** agencies receiving STOP, VOCA or Family Violence grants from OCJP should begin collecting outcome data on July 1, 2001! This guidebook is designed to help you recognize what outcome information to collect, how to collect it, and how to report it.
- **For FY 2001-2002 semi-annual reporting** (January 2002) for all three grant types, you're expected to report on *six* months of "core" outcome data, plus federally required data on outputs, *and* any additional information on client outcomes your agency is proud of accomplishing.
- **For FY 2001-2002 annual reporting** (July 2002), you're expected to report on *twelve* months of "core" outcome data, plus federally required output data, and any other outcomes your proud of.

CORE OUTCOMES BY REPRESENTATIVES OF GRANTEE AGENCIES

Over thirty agencies' leaders constituted an Advisory Group to OCJP and worked in seven small groups for over five months defining client outcome indicators and measures for **seven types** of victim service agencies or projects: **Legal Services Agencies, Comprehensive Victim Services Agencies, Victim/Witness Coordinators/Advocacy Projects, Sexual Assault Projects, Domestic Violence Shelter Programs, Law Enforcement Victim Assistance Projects, and Child Advocacy Programs or Projects.** Our Advisors are listed on page iii.

The Advisory Group met to:

- **Specify *"core" outcome indicators*** that would be reasonable to gather and report for any effective project of the type (i.e., those specific statements that indicate *results* or achievement of the project's purpose);

- **Identify** a few good ***outcome measures*** for each "core" outcome indicator (i.e., those concrete measurable data elements that we can count as statements of actual *results*); and
- **Develop *data collection instruments*** for gathering client and community satisfaction feedback.

Both your peers and OCJP recommend these performance management materials as the best current examples of client outcomes tools your agency ought to be using in Tennessee. *(See Attachment 2.)* In Attachment 2, you will find the following types of help:

- ***Outcome Indicators:*** Specific statements that indicate results or achievement of the project's purpose. These are "core" results OCJP expects for this year, 2001-02.
- ***Outcome Measures:*** Concrete, measurable data elements that you can count as statements of actual results. You may define the indicators other ways, but here's a start.
- ***Outcome Data Elements:*** Lists of data to gather, with ideas for data-gathering techniques (e.g., interviews, surveys, case file reviews).

Most agencies have gaps in their existing approach to capturing client outcome data (e.g., satisfaction and self-reported changes). Therefore our agency advisory group developed several instruments they were willing to share with other agencies in need of client feedback surveys. In Attachment 3 you will find ***Sample Client Survey Questionnaires.***

OCJP'S PURPOSE AND GOALS FOR THIS EVALUATION INITIATIVE

OCJP's purpose for promoting evaluation among its subgrantees is to improve Tennessee's system of law enforcement, prosecution and services for victims of violence against women, while promoting the supportive relationship OCJP has achieved with its subgrantee agencies.

OCJP's evaluation goals:

- *To support continuous improvement in program performance among subgrantee participants by strengthening management of OCJP-funded grant activities; and*
- *To prepare the subgrantees to collect AND USE evaluative data themselves.*

In addition to supplying OCJP with the data it needs to evaluate the quality and outcomes of OCJP-grant funded activities, our performance management-monitoring and evaluation process is designed to help OCJP's subgrantee agencies:

- Forge stronger community partnerships with allied agencies;
- Enhance their ability to gain public support and additional funding; and

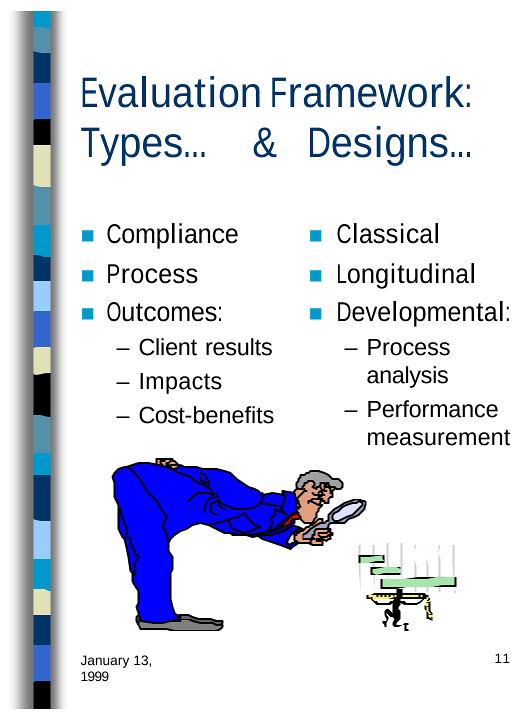
- Equip them with the tools, data and experience they will needed to manage their operation, improve their work processes, and demonstrate their accountability over the long term.

THE PERFORMANCE MANAGEMENT CHALLENGE

Few subgrantee agencies have had to emphasize collecting performance data for accountability reasons. Yet, performance excellence requires continuous assessment of program strengths and weaknesses, and quality assurance requires good management data. Furthermore, programs that rely on federal funding may eventually be challenged to develop other forms of fiscal and political support if any of their grant money ever becomes jeopardized. But not every manager of a program receiving federal funding has a background or skills in evaluative data collection and analysis. These managers need help developing systematic data collection approaches to gather data that will be convincing about their effectiveness – in order to enlist and maintain the support of funding sources. Therefore, the challenge is to engage subgrantees in learning how to collect data that they can use to improve performance, assure effectiveness, attain client outcomes, and enlist public support – while satisfying the federal and state grant-making agencies.

WHAT CAN EVALUATION DO FOR MY PROGRAM?

Evaluation is empowering. By participating in evaluation, you can have a hand in shaping the information through which someone can come to understand your program's purposes and accomplishments. You can also provide yourself with a powerful tool for improving and expanding your program and its activities in fruitful ways. And you will very likely also be in a position to influence the further development of supports for the victims of violence in your community. The benefits provided by a good evaluation can make all the effort seem worthwhile.



Rigorous evaluation of projects supported with OCJP grant funds is vitally important. Evaluation can:

- Document what your project accomplishes;
- Provide evidence of your project's impact and effectiveness in reaching its goals;
- Describe what kinds of participants benefit the most (and least) from project activities;
- Generate information on what strategies work best, how projects should be structured, and how to overcome obstacles; and

- Document project costs and, in some studies, assess the value of benefits.

OCJP subgrantee agencies can use this information to:

- Determine if your project is accomplishing your objectives, for whom and how;
- Plan and manage your project by getting feedback to identify areas that are operating according to plan and those that need attention and development;
- Identify unmet needs and gaps in services for those you are trying to reach;
- Publicize your accomplishments; and
- Raise funds for project continuation, expansion or replication.

The kind of information you will collect, and what you can do with it, depends on the kind of evaluation you select. You can choose from the following types of evaluations:

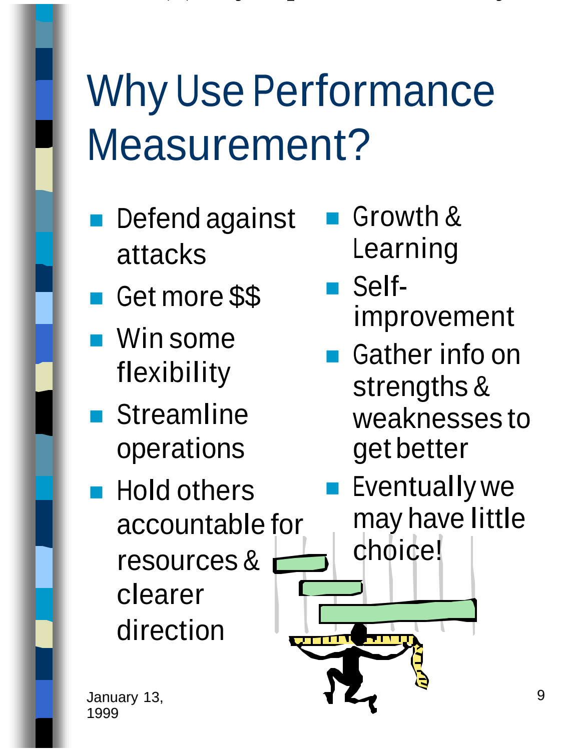
Impact evaluation focuses on questions of *causality*. Did your project have its intended effects? If so, who was helped and what activities or characteristics of the project created the impact? Did your project have any unintended consequences, positive or negative?

Process evaluation is a one-time "snapshot" of what's happening in your project. It's descriptive, rather than judgmental. It answers questions about how the project operated and documents the procedures and activities undertaken in service delivery. Process evaluations help to identify problems faced in delivering services and strategies for overcoming these problems. They can tell you if your project is doing what you want it to do, in the way you want to do it. They can provide guidance for practitioners and service providers interested in replicating or adapting your strategies in their own projects.

Process evaluations rarely vary in basic design. Most involve a thorough documentation and analysis of activities of the program. A good process analysis design is guided by a set of core questions: Is the project model being implemented as specified and, if not, how do operations differ from those initially planned? What is the view of the project from the perspectives of staff, participants, and the community? The answers to these questions are useful in providing guidance to policy makers and project planners interested in identifying which key project elements seem to work. They're also helpful for generating hypotheses about project impacts that can be tested in impact analyses.

Performance measurement is kind of an ongoing, in-house process evaluation. Measurement provides regular, consistent data on key project activities and accomplishments for decision-makers in the program. Data on performance, obtained by routinely monitoring performance data, have several uses. You can use them in a process evaluation to document activities of different components of your service delivery system. You can also use these data in your project management activities. For example, these data can identify components in which performance expectations are not being attained, or you can use the data to clarify your vision, or to offer emotional rewards for your staff. Finally, data on performance indicators can be used as *part of* other evaluations to document project accomplishments. Those kinds of products can help you raise funds for your program from foundations and other grantors.

Performance measurement is used to provide information on (1) key aspects of how a system or project is operating; (2) whether and to what extent, project's stated objectives are being attained (e.g., numbers of women served by a shelter, increases in cases prosecuted, improved evidence collection); and (3) weaknesses in producing project outputs. The latter kind of data can be used in managing or redesigning project operations. Performance measures can also be developed to use for (4) monitoring service quality (e.g., data on the satisfaction of clients served); and (5) reporting on project efficiency, effectiveness, and productivity (e.g., by comparing project costs and other inputs with output and outcome data).



If conducted frequently enough and in a timely way, performance measurement can provide managers with *regular feedback* that will allow them to identify problems, take timely action, and subsequently assess whether their actions have led to the improvements sought. Performance measures can also stimulate communication about project goals, progress, obstacles, and results among project staff and managers, the public, and other stakeholders. They focus attention on the specific outcomes desired and better ways to achieve them, and can promote credibility by highlighting the accomplishments and value of the project.

Monitoring performance measures requires us to identify and collect specific data on project outputs and outcomes. Although they may measure *subjective factors* such as client satisfaction, the data for both outputs and outcomes are usually numeric: they consist of frequency counts, statistical averages, ratios, or percentages. **Output and outcome measures (immediate and longer term) *indicate* progress toward project goals.** Often the same measurements (e.g., number/percent of women who file for a protection order) may be used for both out*put* monitoring and out*come* measurement. By itself, performance measurement is NOT evaluation. A comprehensive approach to evaluation, such as in *impact evaluation*, requires a rigorous methodology to establish causality between services and results. Unlike impact evaluation, performance measurement does not make any rigorous effort to determine whether these outcomes were caused by project efforts or by other external events. Measurement is a management practice useful for program improvements, not for academic proof!

All programs can benefit from periodic process evaluations. But even more can come from collecting useful information through performance measurement. A process evaluation can help a program identify gaps in its practices, mismatches between its practice and its goals, and ways the program could be improved. But routine performance measurement helps a manager and staff gain a greater understanding of their work flow, their successes and issues at intake, in service delivery, outreach/client finding and follow-up, and so on. Monitoring performance measures will provide you with basic descriptive information about whom you are serving, what they are getting from your program, and how they feel about the services they have received.

AN EFFECTIVE PERFORMANCE MEASUREMENT SYSTEM

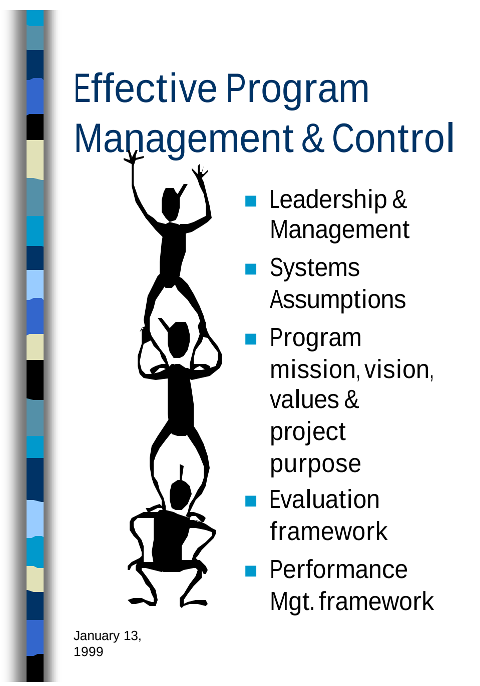
An effective system for performance measurement uses the regular collection and reporting of data (performance measures) to track the work you produce (outputs) and the results you achieve (outcomes). A good performance measurement system can help you better understand how your agency is doing, so you can improve your program's performance.

A performance measurement system is only as good as the usefulness of the information it produces. Effective systems make it easier to make good management and policy decisions. They also serve as accountability tools. To illustrate, performance measures may:

- Chart progress in implementing your agency's strategic development plan;
- Provide feedback on your constituents' service needs, demands and satisfaction;
- Indicate the levels of achievement among agency functions, programs or components;
- Yield information that can enhance the public's understanding of your programs;
- Help you tie financial costs to program results; or
- Establish how well the agency is meeting practice or funding standards.

Because significant resources go into developing and maintaining a performance measurement system, you should take the time to develop a clear set of expectations before developing your system. Mature performance measurement systems can:

- *Enhance the quality of services:* Well-crafted measures tell staff about constituents' needs and satisfaction levels. Areas for improvement can be cited and appropriate actions taken.
- *Improve management practices:* Performance measures can provide an objective way to gauge performance. With effective performance measures in place, managers can operate their programs to achieve the specified results. This builds employee morale and confidence at the same time holding everyone accountable.
- *Support continuous improvement:* Measures can point to problems with plans, programs, or processes. The information can be used to develop solutions.



- *Aid in the budget development process:* Performance indicators bring greater clarity to the budget development process. They provide an assessment of the resources needed to support activities. They identify the level of products or services that are possible at varying funding levels.
- *Make programs more understandable:* When citizens and policy makers can easily understand performance measures, these indicators explain to the public what is being done with their tax dollars or charitable contributions. Including measures in reports you distribute to citizens and stakeholders is very useful. Just ask a board member!
- *Assess policies, plans and programs:* Performance measures can show whether programs, plans, or policies are working. They can be reviewed and help decision-makers decide whether to continue, modify, or eliminate a particular policy, plan, or program.

USES OF PERFORMANCE INFORMATION

Measurement data cannot improve performance. But if the information they provide can help you make better decisions, then those *actions* can lead to better performance. For performance information to be of greatest use, an agency should plan how it will use the information as it develops the system, to ensure that you will have information that is useful in-house (e.g., board recruitment and training) and with external entities (e.g., funding applications). ***Internally directed data*** tell you how well your agency is doing. For example, they can:

- Provide direction for staff;
- Identify training or technical assistance needs;
- Point out areas for improvement as well as effective strategies;
- Support strategic and operational planning;
- Inform the budget process and justify resource allocations; and
- Focus key constituent's attention on programmatic issues.

Externally directed data: Other information is more useful to external audiences. Findings about outcomes demonstrate a program's worth to citizens or funders, and may be used to:

- Recruit the most talented staff, volunteers and board members;
- Promote the program to potential funders, contributors, and clients;
- Identify and engage partners for collaboration;
- Improve the agency's public image; and
- Retain and increase funding.

CHARACTERISTICS OF GOOD PERFORMANCE MEASUREMENT SYSTEMS

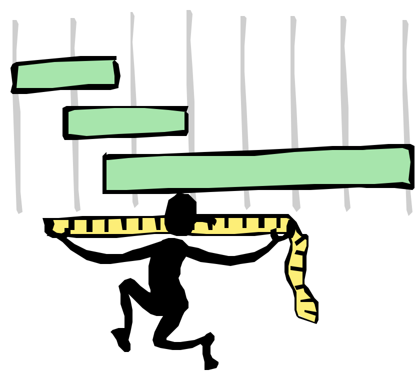
Putting together an effective performance measurement system takes time and patience. Wise managers realize that system development is an evolutionary and dynamic process. Each review of the system brings its own new set of insights. Lessons learned become future improvements as agencies strive to customize measures to meet their unique needs.

The life cycle of a performance measurement system will vary from agency to agency. However, successful systems exhibit several common characteristics. Really good ones:

- Are built into the strategic planning process;
- Focus on outcomes or results, not just efforts and service processes;
- Use a *few* balanced, key indicators to measure overall performance;
- Generate trustworthy and reliable management data consistently over time;
- Permit comparisons of current performance with a program's own historical performance, and with the performance of other programs similar in design and clientele;
- Produce summaries that are regular and openly accessible;
- Inform policy, practice and operations decisions; and
- Promote swift feedback to managers and front-line employees who can use the information to improve their own performance and that of their teams or sections.

PERFORMANCE MEASUREMENT MECHANICS

A system of performance indicators and measures[1] can give you information about all aspects of your agency's performance. Some indicators show how many resources go into a program, others how activities are pursued and how many services are delivered, still others whether the intended results are achieved. Generally, you will see the following types of performance indicators and measures:



- ***Inputs***
- ***Outputs***
- ***Outcomes***
- ***Productivity***
- ***Efficiency***
- ***Quality***

Inputs identify the types and amount of resources invested into the program in order to deliver the services and produce the outputs and outcomes. Inputs, for example, can be used to show the total costs, the mix of resources, or amount of resources devoted to one action in relation to another. Sample input indicators include:

- Number of employees working in a particular program area;

[1] **Measures** and **indicators** are pieces of numerical information that **quantify** inputs, outputs and outcomes. You will find that people refer to the terms "*indicators*" and "*measures*" interchangeably. Even the Malcomb Baldrige Quality Award Criteria fail to make a clear distinction. At OCJP, we use them as many state agencies do (but the opposite of United Way of America). For us, "indicator" is the broader of the two. An indicator is the predictor or device that points to a conclusion that an action is complete, or a goal has been achieved. "Safety" is one possible indicator of success. But because we need *actual data* in order to really *know* whether we have *actually* achieved the indicator we intended to achieve, we need "measures." That is, "indicators" must be operationalized into "measures" to make them countable. A "measure" is a concrete, countable activity or event that stands in for an indicator, such as the number and percentage of victims who say they felt safe in a survey. *Data collection methods* should not be confused with indicators or measures. These are the *ways we gather the data* on measures (such as surveys, focus groups, exit interviews, pre- and post-tests, etc.).

- Number of employee hours worked on certain kinds of cases;
- Total operating expenditures for a given county; or
- Dollars spent on certain kinds of equipment.

Outputs represent the types and amounts of services provided or how much work was performed. **They quantify effort.** In simple terms, they describe *what* a process put out, and *how much* it put out. Outputs are limited as management tools because they give no indication about whether objectives are being attained, the quality of the services, or the efficiency of the service delivery. Comparing current outputs with outputs from previous periods can reveal variations or stability in work activity. Sample output indicators might include:

- Number of assessment interviews;
- Number of shelter days provided;
- Number of safety plans developed;
- Number of training sessions taught;
- Number of days in foster care; or
- Number of persons served.

Outcomes indicate the extent to which an activity, process, or program meets its stated *purposes.* **They quantify results.** For purposes of a thinking model, a program's outcomes are specific statements that *indicate* whether the program's purpose will have been achieved. For example, how will we know when we have succeeded? Victims will be safer for the time they are with us. Safe residents *indicate* a successful shelter. Outcomes comment upon the possible effects of agency actions on constituents (either individuals or groups). Outcomes represent the actual results achieved and the resulting effects on client or community conditions. Human services programs may have outcomes that relate to behavior, skills, knowledge, attitudes, values, physical or mental condition, economic status, or other attributes. They are what participants know, think, or can do; or how they behave; or how their condition is different after they complete a program. Some victims' outcome indicators are:

- A knowledge of one's legal rights;
- A feeling that progress is being made in dealing with the effects of trauma;
- A sense of mastery over the ways to get help;
- A decrease in a shelter's recidivism rate;
- Changes in the perceived safety of women being served;
- Evidence of inter-agency collaboration noticed by victims; or
- Exercise of (or participation in) civil or legal protection actions.

The difference between outcome and output measures can be confusing. Sometimes an outcome and an output are one in the same. Generally, however, there is a difference between the two. To demonstrate, look at these two measures for a juvenile justice program with which we are currently working:

- ***Output:*** Number of youth released from a residential treatment program.
- ***Outcome:*** Number of discharged youth that remain violence-free for a year following their release (recidivism).

Here's another example, from our Tennessee project:

- ***Output:*** Number of meetings of a community's victim services, social services and mental health agencies.
- ***Outcome:*** Number of agency partners that identify specific incidents in which collaboration has improved the condition of a common client.

The output measure simply tells how many people went through the program, or how many meetings each attended. It doesn't show the effect that the program had on the youths or victims a program treated. On the other hand, the outcome measure indicates the change in youths' behavior after completing the program, or the enhancement of collaborative interventions for a victim. The youth program's mission is to reduce criminal behavior and the outcome measure tracks goal achievement. The agency collaboration project is intended to improve victims' safety and symptom reduction; the outcome measure is concerned with client condition, not agency meetings.

Efficiency measures are rather sophisticated uses of measurement data. They describe the amount of work performed as a function of the amount of resources used. Frequently these measures are expressed as ratios, to present information about unit costs. Typically expressed as "cost per application processed," "cost per person served," "cost per shelter day," etc., they may also be stated as "units produced per $1,000," or "forms processed per hour." Efficiency measures gauge how well an agency is using its resources. However, an agency should not focus on efficiency to the exclusion of effectiveness. There is nothing so foolish as to do more efficiently something that should no longer be done. Some efficiency measures are:

- Number of clients receiving service per number of case workers (caseload ratios);
- Cost per trained volunteer;
- Average cost per day per shelter resident;
- Length of time to settle a complaint (costs per day);
- Cost per policy and procedure developed.

Productivity measures are also very sophisticated uses of performance measurement. They combine elements of efficiency and outcomes in a single indicator. This example illustrates:

- "Unit cost of all cases brought for indictment" is an efficiency measure.
- "Unit cost of successful indictments" is a productivity measure.

Frequently, productivity measures are difficult to formulate. For that reason, agencies that are new to performance measurement are better off stressing outcome and efficiency measures first. When they have developed some proficiency with measurement, they may want to devise some productivity measures. Examples include:

- Cost per successful indictment (i.e., total cost of all indictments brought divided by the number of successful indictments);
- Cost per employment vacancy filled successfully (i.e., successful completion of the new employee probation period);
- Cost per shelter client released who does not come back for shelter care; or
- Expenditure per trainee success (total training expenditure/number of trainees who successfully complete post-test).

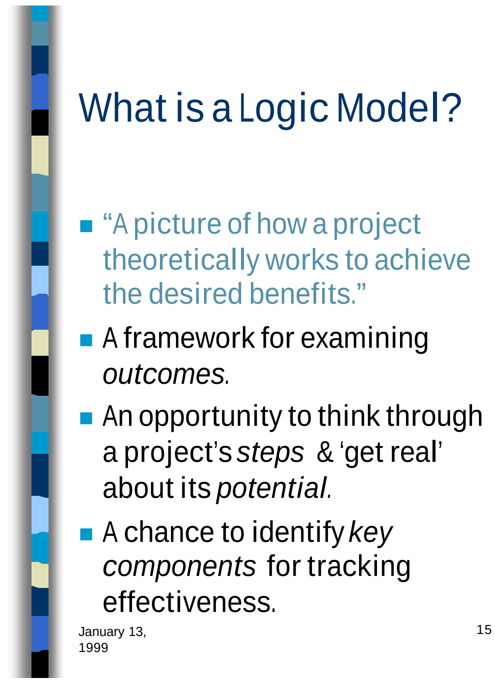
Quality measures reflect the effectiveness of meeting expectations. They include reliability, accuracy, courtesy, competence, responsiveness, and completeness associated with a product or service. Deficiencies in quality are costly in terms of time devoted to rework error correction or resolution of complaints – but quality is not results. Some quality measures are:

- Percentage of accurate entries into a database;
- Extent of compliance with error tolerance levels established by administrative guidelines (i.e., error rates or "do-over" rates);
- Incidence of late or delayed initial contacts in emergency situations.

PROGRAM DESIGNS FOR PERFORMANCE MANAGEMENT: LOGIC MODELS

Programs range from very simple to highly complex. To manage for results you may need a complicated mix of performance measures. To develop an effective measurement system, you can gain important insights by constructing a program logic model. A program logic model is a description of how the program theoretically works to achieve the desired benefits. The diagram captures a series of "If-then" changes that the program intends to activate through its inputs, activities, and outputs. This model:

- Furnishes a useful framework for examining outcomes,
- Causes an agency to think through the steps and develop a realistic idea of what the program can accomplish, and
- Identifies the important program components that must be tracked to assess program effectiveness.



In order to conduct a process evaluation or create an ongoing performance measurement process, it is necessary to develop a program model that ties goals, activities and outputs and outcomes together in some logical fashion. Usually, logic models are diagrammed as a series of boxes representing inputs, activities, outputs, and outcomes. They may be drawn either vertically or horizontally. A logic model shows the following relationships:

Purposes include the needs to be met and the goals of the program.

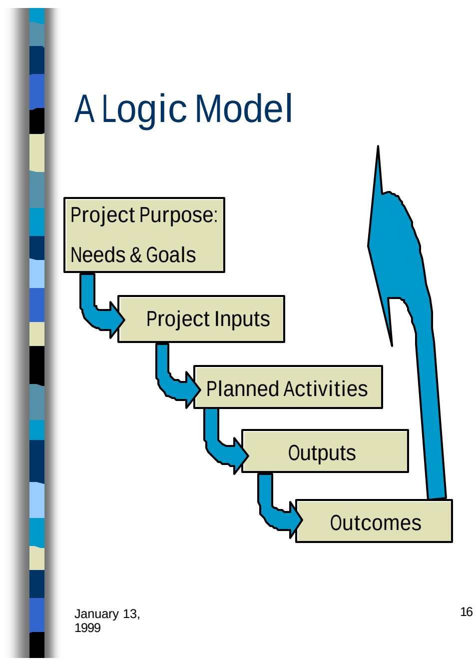
Inputs include resources dedicated to or consumed by a program. Examples are money, staff and staff time, volunteers and volunteer time, facilities, equipment, and supplies.

Activities are what a program does with the inputs to fulfill its mission. Activities include the strategies, techniques, and types of treatment that comprise a program's service and methodology.

Outputs are the direct products of program activities and usually are measured in terms of the volume of work accomplished, such as the number of classes taught, counseling sessions held, people served, lane miles paved, and applications reviewed.

Outcomes are benefits resulting from the program activities. For a human services program, it is some change in a participant's behavior or condition; for transportation, changes in ways to move people and goods; and for economic development, changes in an area's economic status. The key is to show what difference a program made or what value it added to the public's or client's well being.

Below is another way we have depicted a logic model, in a slideshow we use at PVI:



HINTS ABOUT PERFORMANCE MEASURES
Agencies sometimes have trouble classifying some program components as activities, outputs, or outcomes. The following hints give a general guide and suggest appropriate exceptions.

Recruiting and training staff and volunteers, purchasing or upgrading equipment, and various support and maintenance activities. These are internal program operations intended to improve the quality of program inputs. The number of staff recruited, number of volunteers trained, amount of equipment purchased, etc., indicate the volume of these internal operations. However, these operations do not represent benefits or changes for the public or users, and thus are not outcomes.

Number of people served. This tells the volume of work accomplished. In most cases, volume of service is an output. It tells nothing about whether anyone benefited from the service and there fore is not usually an outcome. However, in public education programs – where the program aims to encourage citizens to seek a service, such as cancer screening – the fact that citizens become aware of the importance of the service and seek it out reflects a change in knowledge or attitudes and behavior resulting from the program. Thus, the number of citizens who are motivated to seek a service by a public education program might be considered an outcome of that program.

Constituent satisfaction. Most often, whether people are satisfied or not with various aspects of a program (e.g., courteousness of staff, timeliness of follow-up) is an indication of quality. But while service quality is important, quality does not generally indicate whether a person's condition improved or the person gained any benefit. Thus, client or stakeholder satisfaction generally is not an outcome. In some instances, client satisfaction may be *part* of a series of changes a participant experiences in achieving a successful outcome. For example, if an individual's willingness to continue with long-term counseling is critical to the program's purpose and satisfaction is a key determinant of continuation, then satisfaction may be a necessary, outcome. (It will not be sufficient by itself as an indication of results.) In programs whose purpose is to meet participant's basic needs, such as food kitchens and crisis shelters, it may be nearly impossible to track participants far enough beyond the immediate delivery of service to identify outcomes beyond being fed and sheltered. In these cases the program may have to settle for participant satisfaction as the closest approximation of an outcome it can measure in the short time it has with a client.

PRINCIPLES TO USE IN IDENTIFYING A PROGRAM'S INTENDED OUTCOMES

The value of performance measurement comes from its support for improving performance, not simply in quantifying performance. To improve, an agency needs to know two things – where it wants its performance to be and where its performance currently is. To decide where you want your agency to be, start discussing what you expect it to accomplish! **At PVI we ask all the time, "What results are you in business to accomplish?"**

Clearly stating a program's expected outcomes is generally not as easy as it appears. Frequently in the public sector diverse groups have differing and sometimes competing ideas about the most desirable outcomes. Public dollars generally fund programs designed to improve the lives or conditions of the citizens. This is true whether it's for road building, schools, hospitals, public health, or violence against women programs. Different stakeholders may have very diverse and sometimes competing expectations. Before an agency can move forward with defining its intended outcomes, it needs a generally accepted purpose statement. Without it, an agency is hindered from compiling a meaningful set of performance indicators.

It is also important to keep in mind the following principles:

- There is no right number of outcomes for a program. Some programs may have two outcomes while others have five. It is important to weed out any outcomes that are duplicative, overlapping, or clearly unimportant.

- Programs may have more than one "outcome" track. Multiple components are examples.
- In some cases, initial outcomes may be arguably closer to being outputs. Putting the proper label on a measure is less important than doing your best to identify outcomes.
- The more immediate the outcome, the more influence a program has on achieving it.
- Conversely, the longer term the outcome, the less direct influence a program has over its achievement and the more likely other, extraneous forces will intervene.
- Simply because other forces may affect an outcome does not mean that it should be excluded from a program's logic model.
- But, a program's longer-term outcomes should not go beyond the program's purpose.
- A program's outcomes should not exceed the scope of its targeted service population.
- It is important to consider what unintended or possibly negative consequences a program may have. You may select an outcome that's to avoid an adverse result, for example.

MEASURES OF SHORT-TERM CHANGE

Many STOP and VOCA projects have goals that involve making changes in victims' lives. Effective programs ideally result in some degree of measurable, immediate, positive change in victims' lives. It is important to be able to document such changes. There are two critical points to make here:

- Most programs using STOP and VOCA grants should focus on the measurement of short-term, not long-term change.
- Direct service delivery programs that are "victim"-focused should not be expected to produce decreased violence in women's lives. Victim-based direct service programs can provide support, information, assistance, immediate safety for women and/or counseling, but they are not designed to decrease the perpetrators' abuse or end the risk of abuse. A coordinated community response that holds perpetrators accountable for their behaviors is necessary to decrease the risk of continued abuse.

In order to measure short-term change, answers must be provided to questions such as:

- ***What specifically*** did victims receive from this program/service/intervention?
- ***How much*** did victims receive from this program/service/intervention (i.e., how much time, how many units of service)?
- ***How effective*** did victims feel this intervention was in meeting their needs?
- ***How satisfied*** were victims with the various components of this intervention?
- If the intervention was designed to result in any tangible, measurable change in victims' lives (e.g., change of residence, new financial resources), ***did this change occur***?

In the chart on the next page you will find a series of questions designed to help you review your developing logic model and its set of performance indicators and measures.

Reviewing the Program Logic Model and Intended Outcome Indicators

Does your logic model:

- Include all activities and outcomes that are important?
- Make the appropriate connections between inputs, activities, outputs, and outcomes?

Are the outcomes identified as important to measure:

- Relevant to the program's purpose?
- Outcomes for which the program should be held accountable?

Are they important to achieve if the program is to fulfill its purpose?
Do they represent meaningful benefits or changes for participants?
Is it reasonable to believe the program can influence them in a non-trivial way?

Are the outcomes:

- Clear in defining the intended scope of the program's influence?
- Useful to program managers in efforts to identify both points of success and problems the program can correct?
- Likely to be effective in communicating the program benefits to various clients?

SELECTING MEASURES FOR OUTCOMES

An agency faces a challenge when it chooses information to track its programs' results. The principal data for accomplishing this is an *outcome measure*. Its purpose is to help an agency know whether the program's outcome is being achieved.

Measuring outcomes can be a "snap," or it can be a challenge. Some are simple, such as tracking the number of clients graduating from high school or getting a job. Others are far less concrete. For example, the stated outcome for a prenatal care program is a "healthy" baby. The challenge is deciding how to define "healthy" baby. One method is to select some important characteristics that also are measurable. Program staff could define "healthy" birth as a baby weighing at least 5.5 pounds, having an APGAR score of seven or more, and no visible physical abnormalities. These characteristics are observable and measurable. The program could also use other measures or additional measures, but that is a decision for each agency. ***(Remember that Attachment 2 contains "core" outcome measures that OCJP expects at a minimum from programs such as yours. OCJP's Advisory Group of your peers developed these measures, which are firm at least through the 2001-2002 fiscal year.)***

However, when your agency selects additional outcome measures, you should choose:

- Specific observable, measurable characteristics or changes in the client's life that will represent achievement of the outcome; and,
- Specific statistics (e.g., number and percent attaining an outcome) the program will calculate to summarize its level of achievement.

Using the "healthy" baby outcome to illustrate, one agency defined "healthy" using three characteristics: the baby's weight, physical appearance, and score on the standardized APGAR test given to newborns. The statistics the agency chose to use were birth weight greater than 5.5 pounds, and APGAR of 7 or higher, and no visible physical defects. Taken together these three statistics defined how the program would assess whether a baby was "healthy." Your agency may decide not to set "standards" like these (e.g., at least 5.5 pounds to be "healthy") in its first year of performance measurement. You may choose instead to define the outcome measure as "adequate birth weight" until you have a history of recording birth weights among clients. Then, next year, you would be ready to define a "standard" most closely aligned with your agency's own unique service population.

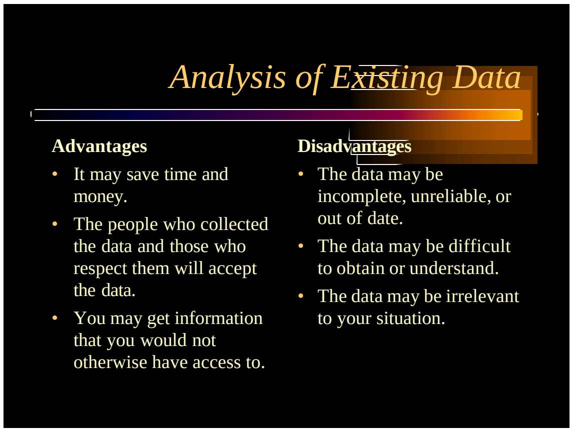
The following questions provide a set of criteria that can be used to judge the adequacy of your outcome measures:

- Is there at least one measure for each intended outcome noted in your logic model?
- Does each measure track an important aspect of the outcome indicator that no other measure tracks?
- Is the wording of each measure sufficiently specific? Does it specify the characteristic or change that will be counted?
- Does each measure identify the statistics that will summarize your program's performance on the outcome? Will the statistics effectively convey the level of achievement of client outcomes?

GATHERING OUTCOME DATA

Your agency should resist any temptation to collect data for every conceivable aspect of the program's intended outcomes. An agency's task is to choose a reasonable set of measures that provide essential information about program performance. An overly ambitious set of measures will quickly overburden the ability of an agency to implement an effective performance measurement system. Therefore:

- Design your data collection methods to impose a minimal burden on your staff; and
- Avoid collecting any data that add less to the analysis than they cost to collect.



Data Sources: Sources of data depend on the measures you have chosen. An agency has a variety of sources it can examine, such as:

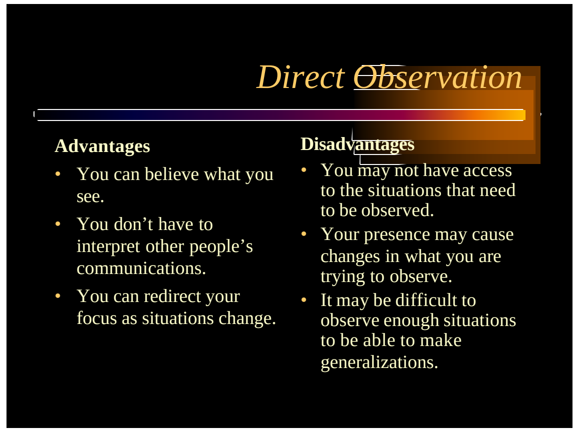
- Agency records
- Other agency records
- Individuals
- General public
- Trained observers
- Mechanical measurements

Each of these methods has its own set of advantages and disadvantages. These advantages and disadvantages can inform agencies regarding the source of data chosen. Consider:

Advantages	**Disadvantages**
Agency records: ❑ Available ❑ Accessible ❑ Certainty abut how data is collected ❑ Procedures can be amended to collect needed information in the future.	***Agency Records:*** ❑ Value of data depends on how carefully it was recorded. ❑ Existing records seldom contain all data needed. ❑ Generally don't provide post-service information.
Other agency records: ❑ Offers a different perspective on participants' experiences. ❑ May provide information on outcomes achieved after service.	***Other agency records:*** ❑ Value of data depends on how carefully it was recorded. ❑ Existing records may not contain all data needed. ❑ Confidentiality issues may prevent using data. ❑ Their time frame may not match. ❑ Identifying users may be difficult.
Individuals: ❑ Can provide first-hand view of experience or outcome during and after the program.	***Individuals:*** ❑ Information can be biased by memory, interpretation, perceived pressure, fears, etc.
General public: ❑ Can provide information when specific individuals cannot be identified. ❑ Can provide information on programs that serve geographic areas or population segments rather than individuals.	***General public:*** ❑ Often, only a small portion of the at-large group experienced the program.
Trained observers: ❑ Good to provide information on behavioral skills and practice. ❑ Alternative to or supplement for participants' self-reports.	***Trained observers:*** ❑ Applies only to measures based on physical observation. ❑ Value of data depends on training and skill of observer, specificity of rating scale, etc. ❑ Problem of inconsistent ratings if more than one observer is used.
Mechanical measurements: ❑ Relatively objective, quantified, standardized.	***Mechanical measurements:*** ❑ Findings are affected by accuracy of testing devices, training and skill of administrator.

Data Collection Procedures: Types of data-collection approaches include the following:

- Review and extract data from agency records,
- Questionnaires.
- Interviews,
- Trained observers.

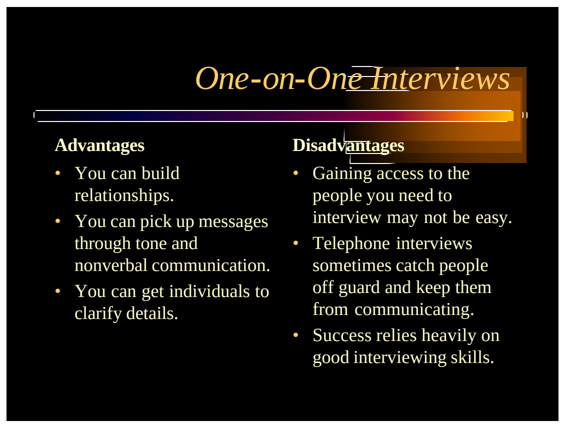


When an agency considers a data collection method, staff should ask questions like:

- Is the data collection method feasible and not overly expensive? Is there a less time-intensive or less expensive way to collect this information?
- Will the data gathered be useful to program managers for program improvement?
- Will data be credible to those outside the program who are likely to look at the information?

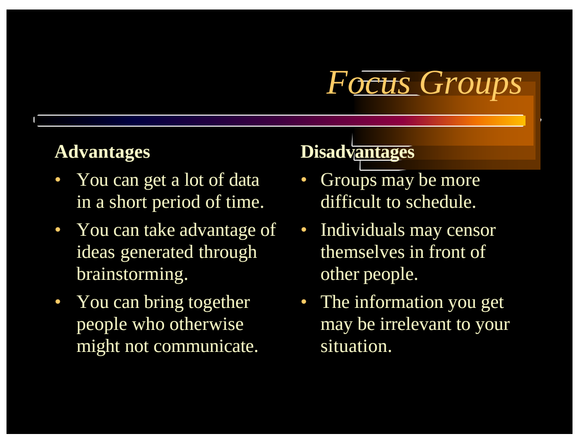
CUSTOM SURVEY DESIGN

Often an agency will choose to develop a special survey to gather information for its performance measurement system. This may often be the best way to get the information that you are seeking. Because designing instruments like questionnaires can be time-consuming, an agency should locate any instruments that others have developed and tested. The agency may be able to modify or use them. *(See Attachment 3 for a number of sample surveys that have been developed by members of the Advisory Group to OCJP.)*



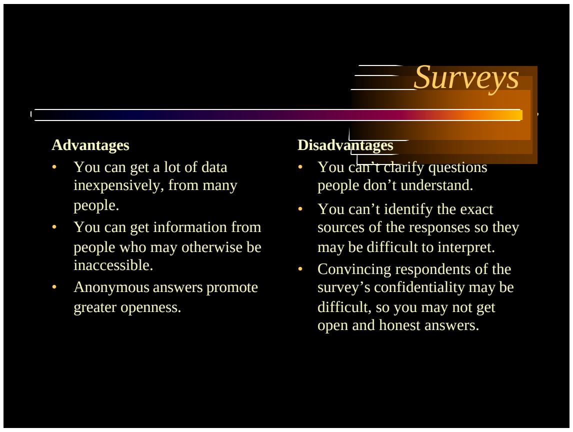
If appropriate instruments are not available and your agency chooses to develop its own survey instrument, keep the following steps in mind:

- See that all information needed for your performance measures is collected. Ask such questions as What is the information you want to learn? Is this information already available from another source? Are there easier ways of getting the information? Will the benefits of having the information outweigh the cost of gathering it? Will we



know what to do with the data once we have it? Will we know how to "fix" processes that lead to low scores, or are we just going to induce guilt? Who should be surveyed? Shall we conduct a census of all our clients or a survey of a sample group? What are we going to be doing with the information from the survey?

- ❑ Sketch out the tables, charts, and types of findings that will be presented and verify that the instrument will capture the data.
- ❑ Pretest the instrument and procedures. When pretesting, you should seek feedback on elements such as wording of questions, content of questions, adequacy of response categories, clarity of instructions, layout and format of the instrument, length of time to administer the instrument, and ease of data entry.



Also, ask specific questions. While it is important to ask open-ended questions such as "What did you like?" and "What can we improve?" these types of questions should be asked in addition to, not instead of, more quantitative questions (closed-ended questions with forced options). It is much easier to describe effects and to detect change with closed-ended questions that assign a number to each answer and force the respondent to select one and only one answer. Thus, if you want to know what clients like, ask specific questions and use specific answer categories. For example, you could ask:

- ❑ How much did you like (or "how satisfied were you with" or "how helpful was"):
  - the promptness of our response,
  - the specific information we provided about resources,
  - the way people in our program interacted with you,
  - the advice we gave you,
  - the ways we helped you think about your situation.

For these questions you could use answer categories such as: 1 = did not like at all, 2 = liked somewhat, 3 = liked a lot. Or the categories could be 1 = not at all satisfied/helpful, 2 = somewhat satisfied/helpful, 3 = very satisfied/helpful.

Generally, short-term changes can be assessed using questions you create yourself, such as:

- ❑ How effective was the program in helping you obtain an order of protection?
- ❑ How much did our court advocate help you understand the court process?
- ❑ How much did the SANE nurse help you understand the evidence collection process?
- ❑ How supported did you feel by the staff of this program?
- ❑ Did shelter staff help you devise a safety plan while you were here?
- ❑ How satisfied are you with the services you received from this program?

Again, short-term change is generally measured by examining ***what*** the customer received, ***how much*** she received, ***how effective*** she found the service, ***now satisfied*** she was with the service, and whether ***short-term change*** occurred.

SUMMARY

Managing for Results is not an easy assignment. Nothing worthwhile ever is. Looking at the bright side, though, you have never had a better opportunity to get this leadership task completed. You have at least a dozen incentives. You have technical assistance from qualified advisors. And, you have a supportive and understanding funding authority in OCJP. They understand the meaning of "walking before we run." **The time to get started is NOW!**

Start by describing "what is." Engage your staff in a process of becoming clear about your program's purpose, its key service processes, and the intended client outcomes of each key process. Use a logic model thinking-dialogue approach. It may be the most important thing you have ever done – even if you are an old veteran with an excellent idea of your program's mission. But think about the volunteers, the board members you're trying to recruit, and your staff… If they are constantly turning over, you owe it to the old-timers to clarify their measures of success before they "burn out," the victims of naïve expectations. For the new ones, there is nothing better than a good, solid logic model to convey the essence of what your program is all about!

Deciding on outcome indicators and measures of success is difficult. Establishing a system for gathering performance data is even tougher. It's tough enough just to collect output data; it's even harder to gather outcomes data. That challenge has kept most of us in human services from even attempting it for decades. Now we have an approach that is tested and trained. Get busy monitoring your agency's performance!

There is no such thing as a service agency that's just holding its own, is there? Your program is either getting better or it's likely to get worse. And how do you intend to get better? Ask your staff to work harder? To give it just little more effort? NO! You improve by analyzing your outcomes. You will learn what you need to lead and direct your staff more effectively. And you will *all* learn what it takes to improve your service processes.

Tennessee *needs* you to succeed. OCJP *wants* you to succeed. Here is a major tool to help you accomplish the results you are in business to accomplish. We wish you good luck!

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"This project was supported by Award # 03VA-GX-0047 awarded by the Bureau of Justice Assistance, Department of Justice Programs."